

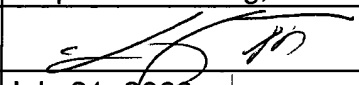
Please type a plus sign (+) inside this box → ☐


PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>	Application Number	09/043,838 09/55555
	Filing Date	March 27, 1998
	First Named Inventor	Braud et al.
	Group Art Unit	3761
	Examiner Name	T. Martin
Total Number of Pages in This Submission	Attorney Docket Number SHP-PT059	

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Small Entity Statement <input checked="" type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; height: 50px; width: 100%;"></div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	C. Frederick Koenig III, Esquire Volpe and Koenig, P.C.	Reg. No. 29,662
Signature		
Date	July 31, 2000	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box 17, Commissioner for Patents, Washington, D.C. 20231 on this date:			
			July 31, 2000
Typed or printed name	C. Frederick Koenig III, Esquire		
Signature		Date	7/31/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**ATTENTION ATTENTION ATTENTION**

Date Processed:

PCF-5000

☐

**ACH Payment**

**COMPLETED**

Attached Is The Most Current ACH Information

☐

**Treasury Check**

5000

The Most Current ACH Information Was  
Requested From This Customer With The Purpose Of  
Processing His Refund Request By Electronic Fund  
Transfer (EFT). No EFT Information Was Received.

Therefore, If Customer Is Due A Refund;

**A Check Will Be Issued.**

☒

**Credit To Deposit Account**

09/555555 GA

This Request for Refund Will Be Processed By Crediting Deposit  
Account Number 22-0493, If Customer Is Due A Refund.

**ATTENTION ATTENTION ATTENTION**

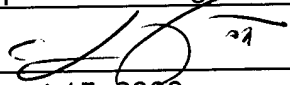
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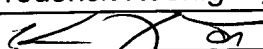
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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/555,555	
	Filing Date	June 1, 2000	
	First Named Inventor	Braud et al.	
	Group Art Unit	5071	
	Examiner Name	Not Yet Known	
Total Number of Pages in This Submission	5	Attorney Docket Number	SHP-PT059

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation- Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Communication Re Refund Request (2 pgs.) w/Attachments (3 pgs.)
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	C. Frederick Koenig III, Esquire Volpe and Koenig, P.C.	Reg. No. 29,662
Signature		
Date	August 15, 2000	

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box 17, Commissioner for Patents, Washington, D.C. 20231 on this date: August 15, 2000	
Typed or printed name	C. Frederick Koenig III, Esquire
Signature	 Date 8/15/00

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**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the **PATENT APPLICATION** of:

	Braud et al.
<b>Application No.:</b>	09/555,555
<b>Filing Date:</b>	June 1, 2000
<b>For:</b>	HLA-E BINDING
<b>Group:</b>	5071
<b>Examiner:</b>	Not Yet Known

Our File: SHP-PT059

Date: August 15, 2000

**COMMUNICATION RE REFUND REQUEST**

Box 17  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

This Communication is further to the Refund Request and Small Entity Statement which were filed on July 31, 2000 with respect to the above-identified application. It has come to Applicants' attention that the Refund Request contained an error as to the Application Number and Filing Date. The Small Entity Statement had, in fact, the correct patent application number, namely, 09/555,555. A copy of the Small Entity Statement and original Refund Request are attached hereto.

It is respectfully requested that Applicants' original Refund Request pursuant to 37 C.F.R. § 1.2(a) for a refund of Four Hundred and Twenty Dollars (\$420.00) for the Filing Fee be granted since a proper Small Entity Declaration was submitted with the Refund


**Applicant:** Braud et al.  
**Application No.:** 09/555,555

Request on July 31, 2000. Applicants' undersigned counsel sincerely apologizes for any inconvenience caused due to the error in the application number, but believe the requirements of 37 C.F.R. § 1.2(a) were substantively met by the Refund Request filed of July 31, 2000.

Please credit the refund to Deposit Account No. 22-0493 under our Order No. 972. Two copies of this Communication are enclosed. If there are any questions regarding this matter, please contact Applicants' undersigned attorney. Thank you very much for your attention to this matter.

Respectfully submitted,

Braud et al.

By   
C. Frederick Koenig III, Esquire  
Registration No. 29,662  
(215) 568-6400

Volpe and Koenig, P.C.  
Suite 400, One Penn Center  
1617 John F. Kennedy Boulevard  
Philadelphia, PA 19103

CFK/fap  
Enclosure

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the **PATENT APPLICATION** of:

	Braud et al.
<b>Application No.:</b>	09/043,838
<b>Filing Date:</b>	March 27, 1998
<b>For:</b>	HLA-E BINDING
<b>Group:</b>	3761
<b>Examiner:</b>	T. Martin

Our File: SHP-PT059

Date: July 31, 2000

**REFUND REQUEST**

Box 17  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. § 1.28(a) a refund of Four Hundred Twenty Dollars (\$420) for the filing fee is respectfully requested. Enclosed herewith is a Declaration Supporting Claim for Small Entity Status By Nonprofit Organization.

This Refund Request is timely, being made prior to the first business day of the two month anniversary of the filing date on which the full filing fee was paid, 37 C.F.R. § 1.7.

**Applicant:** Braud et al.  
**Application No.:** 09/043,838

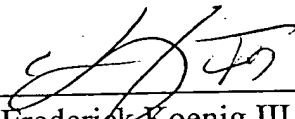
Please credit the refund to Deposit Account No. 22-0493 under our Order No. 972.

Two copies of this Communication are enclosed.

Respectfully submitted,

Braud et al.

By

  
C. Frederick Koenig III, Esquire  
Registration No. 29,662  
(215) 568-6400

Volpe and Koenig, P.C.  
Suite 400, One Penn Center  
1617 John F. Kennedy Boulevard  
Philadelphia, PA 19103

CFK/fap  
Enclosure

27/07 '00 09:45 FAX 011792 09

SHP BRISTOL

ISIS INNOVATION 004

PTO/SB/11 (12-87)

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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))—NONPROFIT ORGANIZATIONDocket Number (Optional)  
SHP-PT058Applicant, Patentee, or Identifier: Braud et al.Application or Patent No.: 09/555,555Filed or issued: Not Yet KnownTitle: HLA-E BINDING

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION ISIS Innovation Limited of Oxford UniversityADDRESS OF NONPROFIT ORGANIZATION Ewert House, Ewert Place, Summertown, Oxford OX2 7BZ  
United Kingdom

## TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Dr. T. Cook

NAME OF PERSON SIGNING

Managing Director

TITLE IN ORGANIZATION OF PERSON SIGNING

ISIS Innovation Ltd

ADDRESS OF PERSON SIGNING

Ewert House Ewert Place Summertown, Oxford  
OX2 7BZ UK

SIGNATURE

T. Cook

DATE

28-7-00

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